

# **ANNUAL SYNAR REPORT**

**42 U.S.C. 300x-26**

OMB № 0930-0222

**FFY 2019**

**State: TN**

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## INTRODUCTION

The Annual Synar Report (ASR) format provides the means for states to comply with the reporting provisions of the Public Health Service Act (42 U.S.C. 300x-26) and the Tobacco Regulation for the Substance Abuse Prevention and Treatment Block Grant (SABG) (45 C.F.R. 96.130 (e)).

### **How the Synar report helps the Center for Substance Abuse Prevention**

In accordance with the tobacco regulations, states are required to provide detailed information on progress made in enforcing youth tobacco access laws (FFY 2018 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2019 Intended Use Plan). These data are required by 42 U.S.C. 300x-26 and will be used by the Secretary to evaluate state compliance with the statute. Part of the mission of the Center for Substance Abuse Prevention (CSAP) is to assist states<sup>1</sup> by supporting Synar activities and providing technical assistance helpful in determining the type of enforcement measures and control strategies that are most effective. This information is helpful to CSAP in improving technical assistance resources and expertise on enforcement efforts and tobacco control program support activities, including state Synar program support services, through an enhanced technical assistance program involving conferences and workshops, development of training materials and guidance documents, and onsite technical assistance consultation.

### **How the Synar report can help states**

The information gathered for the Synar report can help states describe and analyze substate needs for program enhancements. These data can also be used to report to the state legislature and other state and local organizations on progress made to date in enforcing youth tobacco access laws when aggregated statistical data from state Synar reports can demonstrate to the Secretary the national progress in reducing youth tobacco access problems. This information will also provide Congress with a better understanding of state progress in implementing Synar, including state difficulties and successes in enforcing retailer compliance with youth tobacco access laws.

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<sup>1</sup>The term “state” is used to refer to all the states and territories required to comply with Synar as part of the Substance Abuse Prevention and Treatment Block Grant Program requirements (42 U.S.C. 300x-64 and 45 C.F.R. 96.121).

## Getting assistance in completing the Synar report

If you have questions about programmatic issues, you may call CSAP's Division of State Programs at (240) 276-2550 and ask for your respective State Project Officer, or contact your State Project Officer directly by telephone or email. If you have questions about fiscal or grants management issues, you may call the Grants Management Officer, Office of Financial Resources, Division of Grants Management, at (240) 276-1422.

## Where and when to submit the Synar report

The ASR must be received by SAMHSA no later than December 31, 2018 and must be submitted in the format specified by these instructions. Use of the approved format will avoid delays in the review and approval process. The chief executive officer (or an authorized designee) of the applicant organization must sign page one of the ASR certifying that the state has complied with all reporting requirements.

The state must upload one copy of the ASR using the online WebBGAS (Block Grant Application System). In addition, the following items must be uploaded to WebBGAS:

- FFY 2019 Synar Survey Results: States that use the Synar Survey Estimation System (SSES) must upload one copy of *SSES Tables 1–8* (in Excel) to WebBGAS. **Please note that, beginning with the FFY 2019 ASR, SSES will generate Tables 6, 7, and 8, which are based on the optional microdata on product type, retail outlet type, and whether identification was requested. If your state does not submit these optional data, Tables 6, 7, and 8 will be blank. Tables 6, 7, and 8 are generated for the convenience of the state, and states are not required to submit completed versions of Tables 6, 7, or 8.** States that do not use SSES must upload one copy of ASR Forms 1, 4, and 5, and Forms 2 and 3, if applicable, (in Excel), as well as a database with the raw inspection data to WebBGAS.
- Synar Inspection Form: States must upload one blank copy of the inspection form used to record the result of each Synar inspection.
- Synar Inspection Protocol: States must upload a copy of the protocol used to train inspection teams on conducting and reporting the results of the Synar inspections. This document should be different than the Appendix C attached to the Annual Synar Report.
- A scanned copy of the signed Funding Agreements/Certifications

Each state SSA Director has been emailed a login ID and password to log onto the Synar section of the WebBGAS site.

## FFY 2019: FUNDING AGREEMENTS/CERTIFICATIONS

The following form must be signed by the Chief Executive Officer or an authorized designee and submitted with this application. Documentation authorizing a designee must be attached to the application.

### **PUBLIC HEALTH SERVICES ACT AND SYNAR AMENDMENT**

42 U.S.C. 300x-26 requires each state to submit an annual report of its progress in meeting the requirements of the Synar Amendment and its implementing regulation (45 C.F.R. 96.130) to the Secretary of the Department of Health and Human Services. By signing below, the chief executive officer (or an authorized designee) of the applicant organization certifies that the state has complied with these reporting requirements and the certifications as set forth below.

### **SYNAR SURVEY SAMPLING METHODOLOGY**

The state certifies that the Synar survey sampling methodology on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2019 is up-to-date and approved by the Center for Substance Abuse Prevention.

### **SYNAR SURVEY INSPECTION PROTOCOL**

The state certifies that the Synar Survey Inspection Protocol on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2019 is up-to-date and approved by the Center for Substance Abuse Prevention.

**State:** TN

**Name of Chief Executive Officer or Designee:** Marie Williams

**Signature of CEO or Designee:**

**Title:** Commissioner

**Date Signed:**

**If signed by a designee, a copy of the designation must be attached.**

**SECTION I: FFY 2018 (Compliance Progress)****YOUTH ACCESS LAWS, ACTIVITIES, AND ENFORCEMENT**

42 U.S.C. 300x-26 requires the states to report information regarding the sale/distribution of tobacco products to individuals under age 18.

- 1. Please indicate any changes or additions to the state tobacco statute(s) relating to youth access since the last reporting year. If any changes were made to the state law(s) since the last reporting year, please upload a copy of the state law to WebBGAS. (see 42 U.S.C. 300x-26).**

- a. Has there been a change in the minimum sale age for tobacco products?**

☐ Yes ☒ No

*If Yes, current minimum age:* ☐ 19 ☐ 20 ☐ 21

- b. Have there been any changes in state law that impact the state's protocol for conducting Synar inspections?**

☐ Yes ☒ No

*If Yes, indicate change. (Check all that apply.)*

- ☐ Changed to require that law enforcement conduct inspections of tobacco outlets  
☐ Changed to make it illegal for youth to possess, purchase or receive tobacco  
☐ Changed to require ID to purchase tobacco  
☐ Changed definition of tobacco products  
☐ Other change(s) (Please describe.) \_\_\_\_\_

- c. Have there been any changes in state law that impact the following?**

Licensing of tobacco vendors ☐ Yes ☒ No  
 Penalties for sales to minors ☐ Yes ☒ No  
 Vending machines ☐ Yes ☒ No  
 Added product categories to youth access law ☐ Yes ☒ No

- 2. Describe how the Annual Synar Report (see 45 C.F.R. 96.130(e)) was made public within the state prior to submission of the ASR. (Check all that apply.)**

- ☐ Placed on file for public review  
☒ Posted on a state agency Web site (Please provide exact Web address and the date when the FFY 2019 ASR was posted to this Web address.)

*Web address:* <http://www.tn.gov/behavioral-health>

*Date published:* December 20, 2018

- ☐ Notice published in a newspaper or newsletter  
☐ Public hearing

- ☐ Announced in a news release, a press conference, or discussed in a media interview
- ☐ Distributed for review as part of the SABG application process
- ☐ Distributed through the public library system
- ☐ Published in an annual register
- ☐ Other (Please describe.) \_\_\_\_\_

**3. Identify the following agency or agencies (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130).**

**a. The state agency(ies) designated by the Governor for oversight of the Synar requirements:**

The Department of Mental Health and Substance Abuse Services (DMHSAS) is responsible for SAPT Block Grant requirements which include Synar. The Department of Agriculture is mandated to enforce youth access laws. DMHSAS has a contractual agreement for the Department of Agriculture to conduct Synar Surveys.

Has this changed since last year's Annual Synar Report?

☐ Yes ☒ No

**b. The state agency(ies) responsible for conducting random, unannounced Synar inspections:**

Tennessee Department of Agriculture

Has this changed since last year's Annual Synar Report?

☐ Yes ☒ No

**c. The state agency(ies) responsible for enforcing youth tobacco access law(s):**

Tennessee Department of Agriculture

Has this changed since last year's Annual Synar Report?

☐ Yes ☒ No

**4. Identify the following agencies and describe their relationship with the agency responsible for the oversight of the Synar requirements.**

**a. Identify the state agency responsible for tobacco prevention activities (the agency that receives the Centers for Disease Control and Prevention's National Tobacco Control Program funding).**

Tennessee Department of Health

**b. Has the responsible agency changed since last year's Annual Synar Report?**

☐ Yes ☒ No

**c. Describe the coordination and collaboration that occur between the agency responsible for tobacco prevention and the agency responsible for oversight of the Synar requirements. (Check all that apply.) The two agencies**

- ☐ Are the same
- ☐ Have a formal written memorandum of agreement
- ☒ Have an informal partnership

The Tennessee Department of Mental Health and Substance Abuse Services (TDMHSAS) works with the Department of Health (TDH) on planning and training. TDH has included the reduction of the Synar rate as a goal for their tobacco prevention efforts and the tobacco coordinators around the state have worked to distribute merchant education toolkits. In addition, at the community level, TDMHSAS funded coalitions have assisted TDH's Health Councils to plan and implement tobacco prevention activities that are based on public model.

- ☐ Conduct joint planning activities
- ☐ Combine resources
- ☐ Have other collaborative arrangement(s) (Please describe.)
- ☐ No relationship

- d. Does a state agency contract with the Food and Drug Administration's Center for Tobacco Products (FDA/CTP) to enforce the youth access and advertising restrictions in the Family Smoking Prevention and Tobacco Control Act?**  
☐ Yes ☒ No (if no, go to Question 5)

- e. If yes, identify the state agency responsible for enforcing the youth access and advertising restrictions in the Family Smoking Prevention and Tobacco Control Act (the agency that is under contract to the Food and Drug Administration's Center for Tobacco Products (FDA/CTP)).**
- 

- f. Has the responsible agency changed since last year's Annual Synar Report?**  
☐ Yes ☐ No

- g. Describe the coordination and collaboration that occur between the agency contracted with the FDA to enforce federal youth tobacco access laws and the agency responsible for oversight of the Synar requirements. (Check all that apply.) The two agencies:**

- ☐ Are the same
- ☐ Have a formal written memorandum of agreement
- ☐ Have an informal partnership
- ☐ Conduct joint planning activities
- ☐ Combine resources
- ☐ Have other collaborative arrangement(s) (Please describe.) \_\_\_\_\_
- ☐ No relationship

- h. Does the state use data from the FDA enforcement inspections for Synar survey reporting?**  
☐ Yes ☐ No



**5. Please answer the following questions regarding the state's activities to enforce the state's youth access to tobacco law(s) in FFY 2018** (*see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130(e)*).

**a. Which one of the following describes the enforcement of state youth access to tobacco laws carried out in your state?** (*Check one category only.*)

- ☐ Enforcement is conducted exclusively by local law enforcement agencies.
- ☐ Enforcement is conducted exclusively by state agency(ies).
- ☒ Enforcement is conducted by both local *and* state agencies.

- b. The following items concern penalties imposed for all violations of state youth access to tobacco laws by **LOCAL AND/OR STATE LAW ENFORCEMENT AGENCIES** (this does not include enforcement of local laws or federal youth tobacco access laws). Please fill in the number requested. If state law does not allow for an item, please mark “NA” (not applicable). If a response for an item is unknown, please mark “UNK.” The chart must be filled in completely.

PENALTY	OWNERS	CLERKS	TOTAL
Number of <u>citations issued</u>	368	19	387
Number of <u>fin es assessed</u>	116	0	116
Number of <u>permits/licenses suspended</u>	0		0
Number of <u>permits/licenses revoked</u>	0		0
Other (Please describe.)	0	0	0

- c. Are citations or warnings issued to retailers or clerks who sell tobacco to minors for inspections that are part of the Synar survey?

☐ Yes ☒ No

If “Yes” to 5c, please describe the state’s procedure for minimizing risk of bias to the survey results from retailers alerting each other to the presence of the survey teams:

- d. Which one of the following best describes the level of enforcement of state youth access to tobacco laws carried out in your state? (Check one category only.)

- ☐ Enforcement is conducted only at those outlets randomly selected for the Synar survey.
- ☐ Enforcement is conducted only at a subset of outlets not randomly selected for the Synar survey.
- ☒ Enforcement is conducted at a combination of outlets randomly selected for the Synar survey and outlets not randomly selected for the Synar survey.

- e. Did every tobacco outlet in the state receive at least one compliance check that included enforcement of the state youth tobacco access law(s) in the last year?

☐ Yes ☒ No

- f. What additional activities are conducted in your state to support enforcement and compliance with state youth tobacco access law(s)? (Check all that apply and briefly describe each activity in the text boxes below each activity.)

☒ Merchant education and/or training

TDMHSAS has updated the “Tennessee Retailer Education Guide in 2018.” The updated guide is available on the TDMHSAS website and will be distributed to

merchants through the Tennessee Department of Agriculture, local community coalitions, and the tobacco coordinators at the Tennessee Department of Health.

- ☐ Incentives for merchants who are in compliance (e.g., nonenforcement compliance checks in which compliant retailers are given positive reinforcement and noncompliant retailers are warned about youth access laws)

- ☒ Community education regarding youth access laws

Community education regarding youth access laws and community mobilization to increase support for retailer compliance with youth access laws: TDMHSAS contracts with 41 community prevention coalitions. Each coalition is required to develop a comprehensive community prevention plan related to youth tobacco prevention. Coalitions have developed strategies that best meet the unique needs in their community based on a thorough assessment. Most coalitions include community education as a strategy in their comprehensive community plans and include community mobilization to increase support for retailer compliance with youth access laws.

- ☐ Media use to publicize compliance inspection results

- ☒ Community mobilization to increase support for retailer compliance with youth access laws

### **Henry County**

- Henry County Prevention Coalition partnered with the Henry County Health Department to conduct community scans and hand out tobacco education materials and signage including employee education guides, stickers, We Card date calendars, and No Loitering signs.
- HCPC purchased tobacco-free campus banners for each of the city and county schools.
- HCPC visited 10 medical clinics to hand out Tobacco Quit Kits.
- HCPC participated in the Great American Smokeout and Red Ribbon Week and provided the public with tobacco prevention information.
- HCPC partnered with Coordinated School Health and Henry County Health Department for Kick Butts Day.
- HCPC partnered with UT Extension to provide tobacco and other substance use information at their after-school program at Lakewood Middle School.
- HCPC installed a static billboard warning of selling or providing tobacco to minors.

### **Madison County**

- The Community Anti-Drug Coalition of Jackson-Madison County had radio commercials running on the dangers of tobacco use.
- The Coalition conducted community scans, provided information about the dangers of tobacco use at health fairs, and provided information concerning the dangers of Electronic Nicotine Delivery Systems.
- 22 members of the Youth Advisory Council students attended Tennessee Teen Institute at UT Martin and learned about the destructive properties of tobacco and other drugs.
- The Coalition encouraged high school students to pledge to be alcohol, tobacco, and drug-free at various football and basketball games.
- The Coalition provided schools and other partners with their tobacco educational models to display.
- The Coalition provided tobacco retailers with We Check ID stickers.

### **Monroe County**

- Students Against Destructive Decisions (SADD) Youth from Monroe County attended Community Anti-Drug Coalitions of America (CADCA) Mid-Year Training Institute and developed a tobacco plan for the county. Youth also attended the TN Strong Conference on tobacco.
- Chota Community Health, a partner of the coalition, implemented free counseling sessions and nicotine replacement therapy for their patients.
- Monroe County Prevention and Wellness Coalition partnered with the Juvenile Court Judge and School Resource Officer Captain to establish a policy of referral to Tobacco: Think Twice tobacco awareness program for all minors found in possession of tobacco.
- The Coalition participated in Kick Butts Day and the Great American Smokeout and distributed information on minor in possession laws and dangers of tobacco use at other community events.

### **Obion County**

- Obion County Prevention Coalition partnered with the tobacco health educator and the Director of Housing Authority to survey trends regarding the new tobacco policy and handed out QUITLINE cards.
- OCPC partnered with the Health Department, Housing Authority, and hospital for Great American Smokeout.
- OCPC partnered with the Health Department to contact all mayors and try and establish tobacco-free parks.
- OCPC handed out tobacco prevention educational materials in schools, at community health fairs, after-school programs, and county and city events.
- Youth were trained to give tobacco presentations through the TN Strong Conference and Taking Down Tobacco 101.
- OCPC partnered with schools and had schools agree to make announcements at home games regarding tobacco- and smoke-free campus

policies.

- OCPC and Youth placed posters regarding dangers of tobacco use in school bathrooms and locker rooms.
- High school students designed tobacco-free pledge banners which were signed by middle school students pledging to be tobacco-free.

### **Overton County**

- Overton County Anti-Drug Coalition met with Juvenile Court Judge on several occasions to discuss court-mandated tobacco cessation classes for juvenile offenders.
- OCADC met with detectives of the Overton County Sheriff's Department to plan and coordinate tobacco compliance checks.
- OCADC provided educational materials regarding the dangers of youth tobacco use at various community events.
- OCADC conducted a student forum discussing tobacco use and consequences.
- Permanent signs have already been designed and placed in parks and schools depicting legal penalties for providing youth to tobacco.
- OCADC conducted walk-throughs of retail establishments observing signage, display, and sales of tobacco products.
- OCADC provided QUITLINE information to the public via social media.

### **Shelby County**

- Memphis Area Prevention Coalition attended town halls, health fairs, a prevention education forum, and other community events and distributed materials on tobacco dangers.
- MAPC trained volunteers to conduct community scans.
- MAPC developed a partnership with the Health Department to collaborate on tobacco efforts.
- MAPC distributed QUITLINE information to the public via social media.

### **Sumner County**

- Sumner County Anti-Drug Coalition distributed QUITLINE information, secondhand smoke resources, and information regarding the dangers of tobacco use at various community events.
- Coalition staff members met with students at Sumner Teen Center to discuss the dangers of prescription drug, alcohol, and tobacco use. During this time environmental scans were discussed and tobacco PSAs were created and recorded by students.
- Tobacco education information was also made available through coffee news ads, social media, billboards, and monitors at various law enforcement agencies.
- SCADC participated in Great American Smokeout and Kick Butts Day. SCADC also partnered with SURGE Project Mentor Group and held a

cigarette butt clean-up at a local park.

- SCADC had discussions with the Health Department and several law enforcement agencies to schedule a county-wide tobacco compliance check.
- SCADC partnered with Sumner County Health Department to host a partner meeting with several community agencies to give an update on tobacco use without the county as well as policy updates.
- SCADC had discussions with the Sumner County Health Department regarding tobacco efforts in the county and jointly holding a cessation class for teens. A member of the Coalition staff will be trained to lead the class through the American Lung Association, and the class is tentatively scheduled to begin in the fall of 2018.
- SCADC developed voluntary smoke-free home policies for county households and provided physical smoke-free home kits including information on the dangers of tobacco use, dangers of secondhand smoke, tips for talking to your kids, and tips for quitting. Tobacco-free signs were also provided to homes.
- Youth member attended Tennessee Teen Institute at UT Martin.

### **Unicoi County**

- Unicoi County Prevention Coalition educated first graders on the dangers of smoking and provided them with packets to take home to their parents with information about the QUITLINE, e-cigarettes, etc.
- Local ordinances are in place that prohibits smoking at youth events.
- Information from Youth survey regarding risk behaviors on tobacco was posted to social media.
- The Coalition conducted a billboard contest for tobacco dangers and a billboard was installed that reached over 20,000 people.
- The Coalition collaborated with TATU students to hold presentations the elementary and middle school students on the misuse and dangers of tobacco.
- The Coalition provided local senior centers and hospitals with tobacco support materials and provided the Unicoi County Health Department with aide and materials for future cessation classes.
- The Coalition partnered with the YMCA and UC Health Department to provide tobacco-free alternative community events and provided resource lists for tobacco cessation to a senior center, pharmacies, UC Career and Technical Center, and the housing authority.
- The Coalition worked with the city and school systems to install outside lighting in dark areas at the football stadium where smoking occurs.

### **Weakley County**

- Youth Coalition members attended the TN Strong Conference, SADD SPEAKS, and Tennessee Teen Institute to learn ways to become effective community scanners, educate members of the community about tobacco use and to gain training on how to positively enforce policies on school grounds and the community.

- WCPC also established a No Smoking policy at the community Soybean Festival.
- Youth Coalition members regularly educated students, faculty, and staff at local middle schools on the adverse effects of tobacco use and continued to educate the school administration on why the enforcement of no smoking/tobacco use policies is important.
- WCPC participated in Kick Butts Day.
- Tobacco information was provided to students, parents, and teachers at various health fairs and community events.
- QUITLINE information was provided at various health fairs and community events.
- No smoking/tobacco signs were posted on the local housing authority property where a playground is located.

### **Anderson County**

- Major accomplishments this quarter for tobacco include training 7 ASAP Youth Ambassadors via the Taking Down Tobacco 101 online training from the Campaign for Tobacco-Free Kids.
- Tennessee Tobacco Retailer Education Guides and age verification materials were delivered to all 86 tobacco retailers in Anderson County.
- Major accomplishments this quarter for tobacco include participating in the Prevention Alliance of Tennessee Day on the Hill where ASAP staff, volunteers and ASAP Ambassadors Youth Coalition members were able to travel to Nashville to educate lawmakers on issues regarding tobacco.
- ASAP also distributed 75 sets of “This is Our Watch” materials provided by the FDA to tobacco and ENDS outlets so that now, every outlet in the county has the materials which include: calendars, posters, stickers, and more.
- Through the Camping for Community Campaign, the social media following on both Facebook and Twitter had a significant increase. This is a great way to increase the number of people that receive messaging for tobacco prevention and other information.

### **Blount County**

- SAPAT handed out over 30 Living Tobacco Free literature pieces out to support group at the local community-owned hospital.
- SAPAT posted “Truth” videos and “The Facts about Smoking” Literature to our Facebook reaching over 600 people.
- SAPAT staff attended the recovery resource fair where 100 pieces of “Living Tobacco Free” literature and pens were handed out to individuals in the community.
- SAPAT staff attended “My Reel Life” event at Maryville High School in April. This event was to educate junior and seniors on real-life costs of healthcare insurance for tobacco users. Approximately 400 students were educated and provided with prevention literature.

- SAPAT staff and three coalition members met with Maryville College professors and administrators in May about the steps towards becoming a tobacco-free campus
- SAPAT staff attended a two-day conference in Knoxville to discuss the opioid epidemic, as well as statistics and preventative methods on reducing the use of tobacco and underage drinking.

### **Coffee County**

- The coalition was able to help sponsor training for those students who were on probation for tobacco and/or e-cig use by providing educational materials and incentive items related to not smoking. They were given information on the dangers associated with smoking and vaping and we also were able to introduce them to the tip411 app.
- Raider Academy provided students who were ending the school year with good attendance with a trip to the Manchester Recreation Center. The Coalition was able to provide educational materials and incentives for those students as well.

### **Dickson County**

- 308 students signed a commitment pledge card to be alcohol, tobacco, and drug-free at the Dickson County Fair and other community events.
- Drug booths were on display outside of the entrance of the Haunted House event that included 1102 participants.
- Completed first tobacco compliance checks in conjunction with local law enforcement.
- The coalition continues to promote tobacco-free events in the community through several events.

### **Hamilton County**

- The Coalition met with HCSO to discuss the Tip411 line for anonymous student reporting of suspected tobacco use and other school policy infractions.
- The Youth Empowerment Society (YES) met with County Commissioners to request that they support 100% smoke-free schools. County commissioners agreed to support YES and TN Strong recommendations.
- The Youth Empowerment Teens and TN Strong Teens followed up with emails to each School Board member with their concerns about tobacco and nicotine use in schools. Two Board members responded to the teens indicating they share their concerns and are revising school tobacco policies. The Coalition is also partnering with the school resource officers to implement a new anonymous tip line called Tip411 for students to report alcohol, tobacco and Rx issues on the school campus.

### **Knox County**



- Youth Health Board (YHB) students have been trained and completed Tobacco Retailer Compliance Checks. Students have received tobacco education including refusal skills.
- YMDC students began developing logic models to address tobacco use in their schools and planning prevention strategies.
- MDC also partnered with SFK to promote Red Ribbon Week and Great American Smoke out. The coalition engaged over 500 students and 15 parents from Whittle Springs Middle School.
- Youth Health Board students participated in Kick Butts Day to promote youth tobacco prevention.
- Smoke-Free Knoxville hosted the annual retreat to establish a plan for providing prevention education to the community.
- The coalition developed a policy and advocacy group that will be discussing local policy change around vaping retail and other statewide initiatives.

### **Lauderdale County**

- The coalition spoke to over 300 Youth about the effect of Tobacco at the National Night Out on 8/8/17.
- The coalition spoke to over 1000 youth about the effect of Tobacco at the Trunk A Treat Event on 10/31/17.
- Kick butts day @ the TUM Ripley Center on 3/22/18 and gave out over (120) “hang tough don’t puff” ribbons and buttons to youth.
- The coalition spoke to over 180 youth in Summer Youth Camps and Vocation Bible School in Lauderdale County about the effects of smoking.

### **Clay County**

- A Community Health and Safety Day was held on July 22nd with displays of the harmful effects of using tobacco products
- While at CADCA’s Midyear, eight SADD Club students attended sessions on vaping, hookahs, and e-cigarettes and their harmful effects.
- The coalition provided local pharmacies with prescription medication bags with the Quitline information printed on them.
- A banner was sponsored at the Clay County High School football field including the coalition logo, SADD logo, Redline information, and TN Quitline information.
- Footballs were provided to the CCHS cheerleaders with the Quitline printed on them to be given out at home football games this season. Bags with information, including the TN Quitline and some incentives were given out at the beginning in-service training for the Clay County Schools employees.
- Great American Smoke-out was celebrated at all schools with a poster contest at the elementary schools and a display during lunch and an opportunity to sign a pledge to be tobacco-free at Clay County High School.
- The Coalition’s SADD Club was invited to mentor and teach at the local After-School program, where the SADD Club students taught about tobacco prevention.

- A new billboard was put up in a prominent area in Celina displaying the Tobacco Quitline on April 15<sup>th</sup>.
- SADD Club Students picked up cigarette butts around the CCHS campus to promote Kick Butts Day.
- An ad was placed in the Clay County High School yearbook for the Coalition and SADD Club with the tobacco Quitline information displayed.
- The coalition helped the Healthier Clay County's Container Project program to distribute vegetable plants to the apartment complexes to encourage healthier eating habits, and also provided them with informational packets that included Quitline and Redline information, laws and penalties of underage tobacco use: What happens when you quit smoking? Informational tip sheets and other small incentives.

### **Grundy County**

- The coalition gave 356 packets with the 1-800-QUIT NOW information, as well as secondhand smoke dangers at the Health Horizon event.
- The coalition partnered with an elementary school to announce information about tobacco and having the cheerleaders throw out 1-800 Quit Now information.
- The coalition had a successful Kick Butts day with our youth.
- The coalition purchased tobacco-free signs for parks, schools, and businesses.

### **Lawrence County**

- Eight students from the youth coalition attended the TN Strong Conference in Chattanooga where they were trained in counter tobacco advertising, cessation laws, media, and the types of tobacco products.
- Participated in Its Quittin Time in Tennessee, Kick Butts Day, the Teen Maze for 7th and 8th graders and the community Baby Shower (Baby & Me Tobacco Free)
- Shared information to the community about the dangers of tobacco use through community events and Lifeskills classes reaching over 550 people.

### **Gibson County**

- Tobacco information was given to over 500 students, parents, and the community at large by way of brochures and display presentations at School Open House, Dawg Daze Fair, Smoking Cessation Event at Housing Authority and Senior Tailgate Day.
- Tobacco Scans were conducted twice a quarter at the Milan Housing Authority at 2 locations, Northside Terrace and Westwood Manor.
- The YAC (Youth Advisory Council) held meetings this quarterly and encouraged their peers to join YAC and commit to the vision and mission of the Coalition by learning skills that empower them to go out into the community to teach and present on the dangers of tobacco use and second and third-hand smoke.

- Letters were sent out to all residents of the Milan Housing Authority inviting them to a Smoking Cessation event provided by the Housing Authority and the Health Department. Quit kits were available as well as information on the dangers of tobacco use and second-hand smoke.

### **Putnam County**

- Youth hosted 4 prevention activities to educate youth, young adults and parents in the community on the dangers of smoking and second-hand smoke. Youth also set up tobacco awareness displays to educate students and parents on the dangers of tobacco use and second-hand smoke.
- Provided information about the Quit Line and the Don't Quit, Just Come smoking cessation classes mandated by the school board for all violators.
- Local City Council approved the second reading of no smoking in Dogwood Park; on July 7 Dogwood Park was declared a smoke-free park. Partnering with local City Council and Parks Director Dogwood Park now has 14 signs that state smoking is prohibited in the park.
- Continue efforts to assist local public housing with the smoke-free policy change, as of Sept 1st, all housing units are smoke-free.
- During the Great American Smoke-Out Day conducted a social media/email smoke out campaign and posted, shared and emailed secondhand smoke information and quite4life information to over 1,700 community members.

### **Smith County**

- Participated in 10 events this quarter focusing on tobacco cessation including SADD Club Awards, Youth Leadership Awards, TN Strong Forum, TTI Camp, Smith County Health Council, Smith County Health Department, Smith County Summer Freshman Orientation, Positive Action in after-school programs, Juvenile Court parent/youth education and Smith County Board of Health.
- Participate in the afterschool programs in all 7 elementary and 2 junior high schools during Red Ribbon Week to reach 269 students with a tobacco prevention message and 72 pledges signed.
- Success was made that education for preemption and the local option was introduced at the Smith County Commission meeting to begin the process of making public areas and parks tobacco-free and partnered with the Smith County Health Department to place new signage in local parks with a second-hand smoke message.

### **Sullivan County**

- Participated in the PAT Day on the Hill with state legislatures with 5 youth coalition members speaking to them on behalf of the youth coalition advocating for change around tobacco policies and being able to restrict where people can use tobacco products including ENDS at outdoor spaces.
- Partnered with Fifty-five businesses and Churches that have signed up to be tobacco free.

- Provided information to the public on known cessation classes through some social media posts and posters.

### **Tipton County**

- Worked with all the clerks in the county to distribute “we card” id calendars that help vendors to easily identify ages before selling tobacco products and supplied 70 calendars to 50 vendors with additional signage to post in their stores.
- Partnered with Tipton County Health Council to promote Healthier Tennessee Initiative and by providing education at a county-wide baby shower for expecting mothers to address tobacco usage.
- Worked in collaboration with the Health Department to get the Tobacco QUIT Line number and logo painted on top of a barn roof visible for the community assisting individuals with tobacco cessation.
- Work with the city council, school board, and local businesses to update local policy and ordinances to include electronic nicotine delivery systems in public places.

### **Washington County**

- Tobacco Cessation Quitline information spots were aired on multiple radio stations through Cumulus radio advertising and reached over 712,800 people.
- Contacted Parks and Recreation about their policies/rules regarding tobacco in their parks and offered them signage for tobacco-free spaces. Ellis. I will be contacting him.
- Shared "Local Smoke-Free Laws Tied to Fewer Lung Cancer Cases" article by Health Day on Facebook. The research was done by the University of Kentucky. Post also talked about preemption and how it is important to let your legislators know that you support preemption of tobacco laws.

### **Williamson County**

- Connected with the youth STARS teams for planned events for Red Ribbon Weeks including tobacco prevention messages in the schools and TNSTRONG campaign events including t-shirt designs with tobacco cessation messages.
- Held Kick Butts Day presentations at three schools in the county: Fairview Middle, Independence High and Summit High with over 450 kids participating in games and activities also had presentations Boy Scouts of America pack on tobacco/vaping usage and passed out information on tobacco/vaping at City of Franklin Health & Safety Fair and the FSSD Health Fair.
- Post PSA message about the dangers of smoking and/or second-hand smoke in local movie theaters reaching over 20,000 people.

### **Franklin County**

- The coalition developed a smoking cessation program to help youth and parents of youth to quit smoking. The coalition is developing community partnerships with hospitals to promote this program.

☒ Other activities (*Please list.*) Food & Dairy Inspections. Toll-free complaint line.

The Tennessee Department of Agriculture, Consumer and Industry Services, Food & Dairy Section, is responsible for inspecting retail establishments that sell food to ensure compliance with state laws and regulations related to food storage, facility sanitation and safety. After the inspector confirms the establishment is currently selling tobacco products, he will proceed with the tobacco compliance requirements. The requirements include the posted tobacco sign which must be 9 1/2 square inches in size, tobacco products in their original sealed packages, no illegal underage tobacco sales to youth, and vending machines that are supervised or locked.

At the time of the initial inspection, the inspectors discuss tobacco laws with the manager/owner. A tobacco sign is given to the store manager and the sign requirements are explained. The sign must be posted at the point of sale and state the following.

STATE LAW STRICTLY PROHIBITS THE SALE OF TOBACCO PRODUCTS OR SMOKING PARAPHERNALIA TO PERSONS UNDER THE AGE OF EIGHTEEN (18) YEARS. PROOF OF AGE MAY BE REQUIRED.

New businesses are required to be inspected and permitted before the establishment opens if they plan to sell perishable goods. Any violations are noted on the inspection sheet and required corrections are reviewed. Any tobacco product for retail sale not in its original sealed package will be removed immediately. If the store continues to have repeat violations, civil penalties will be enforced against the store.

Toll-free Complaint Line: The Tennessee Department of Agriculture provides a toll-free number (1-800-628-2631) for consumers to report establishments selling tobacco products to underage individuals and/or selling single cigarettes. Upon receiving a complaint, a request is given to the tobacco inspector to conduct a tobacco compliance check. If the complaint was for selling loose cigarettes, the youth will attempt to purchase a single cigarette.

Subsequently, a letter discussing the nature of the complaint will be sent to the retailer. Included with this letter will be a copy of the Tennessee Prevention of Youth Access to Tobacco and Vapor Products Law, a Tobacco Sign and a letter stating the requirements for posting this sign. Also included is a Tennessee Retailer's Education Guide.

## SYNAR SURVEY METHODS AND RESULTS

The following questions pertain to the survey methodology and results of the Synar survey used by the state to meet the requirements of the Synar Regulation in FFY 2018 (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130).

**6. Has the sampling methodology changed from the previous year?**

☐ Yes ☒ No

*The state is required to have an approved up-to-date description of the Synar sampling methodology on file with CSAP. Please submit a copy of your Synar Survey Sampling Methodology (Appendix B). If the sampling methodology changed from the previous reporting year, these changes must be reflected in the methodology submitted.*

**a. If yes, describe how and when this change was communicated to SAMHSA**

**7. Please answer the following questions regarding the state's annual random, unannounced inspections of tobacco outlets (see 45 C.F.R. 96.130(d)(2)).**

**a. Did the state use the optional Synar Survey Estimation System (SSES) to analyze the Synar survey data?**

☒ Yes ☐ No

*If Yes, upload a copy of SSES tables 1–8 (in Excel) to WebBGAS. Then go to Question 8. If No, continue to Question 7b.*

**b. Report the weighted and unweighted Retailer Violation Rate (RVR) estimates, the standard error, accuracy rate (number of eligible outlets divided by the total number of sampled outlets), and completion rate (number of eligible outlets inspected divided by the total number of eligible outlets).**

**Unweighted RVR**

\_\_\_\_\_

**Weighted RVR**

\_\_\_\_\_

**Standard error (s.e.) of the (weighted) RVR**

\_\_\_\_\_

**Fill in the blanks to calculate the right limit of the right-sided 95% confidence interval.**

**RVR Estimate**      +      (1.645      ×      )      =  
plus      (1.645      times      Standard Error )      equals      **Right Limit**

**Accuracy rate**

\_\_\_\_\_

**Completion rate**

\_\_\_\_\_

c. **Fill out Form 1 in Appendix A (Forms 1–5).** *(Required regardless of the sample design.)*

d. **How were the (weighted) RVR estimate and its standard error obtained?**  
*(Check the one that applies.)*

☐ Form 2 (Optional) in Appendix A (Forms 1–5) *(Attach completed Form 2.)*

☐ Other *(Please specify. Provide formulas and calculations or attach and explain the program code and output with description of all variable names.)*

--

e. **If stratification was used, did any strata in the sample contain only one outlet or cluster this year?**

☐ Yes ☐ No ☐ No stratification

*If Yes, explain how this situation was dealt with in variance estimation.*

--

f. **Was a cluster sample design used?**

☐ Yes ☐ No

*If Yes, fill out and attach Form 3 in Appendix A (Forms 1–5), and answer the following question.*

*If No, go to Question 7g.*

**Were any certainty primary sampling units selected this year?**

☐ Yes ☐ No

*If Yes, explain how the certainty clusters were dealt with in variance estimation.*

--

g. **Report the following outlet sample sizes for the Synar survey.**

	Sample Size
<b>Effective sample size</b> (sample size needed to meet the SAMHSA precision requirement assuming simple random sampling)	
<b>Target sample size</b> (the product of the effective sample size and the design effect)	
<b>Original sample size</b> (inflated sample size of the target sample to counter the sample attrition due to ineligibility and noncompletion)	
<b>Eligible sample size</b> (number of outlets found to be eligible in the sample)	
<b>Final sample size</b> (number of eligible outlets in the sample for which an inspection was completed)	

h. **Fill out Form 4 in Appendix A (Forms 1–5).**

**8. Did the state's Synar survey use a list frame?**

☒ Yes ☐ No

*If Yes, answer the following questions about its coverage.*

**a. The calendar year of the latest Sampling frame coverage study:** 2015

**b. Percent coverage from the latest Sampling frame coverage study:** 93.8%

**c. Was a new study conducted in this reporting period?**

☐ Yes ☒ No

*If Yes, please complete Appendix D (List Sampling Frame Coverage Study) and submit it with the Annual Synar Report.*

**d. The calendar year of the next coverage study planned:** 2020

**9. Has the Synar survey inspection protocol changed from the previous year?**

☐ Yes ☒ No

*The state is required to have an approved up-to-date description of the Synar inspection protocol on file with CSAP. Please submit a copy of your Synar Survey Inspection Protocol (Appendix C). If the inspection protocol changed from the previous year, these changes must be reflected in the protocol submitted.*

**a. If Yes, describe how and when this change was communicated to SAMHSA**

**b. Provide the inspection period: From** 6/11/18 **to** 09/15/18  
MM/DD/YY MM/DD/YY

**c. Provide the number of youth inspectors used in the current inspection year:**

14

NOTE: If the state uses SSES, please ensure that the number reported in 9b matches that reported in SSES Table 4, or explain any difference.

**d. Fill out and attach Form 5 in Appendix A (Forms 1–5). (Not required if the state used SSES to analyze the Synar survey data.)**



## SECTION II: FFY 2019 (Intended Use):

Public Law 42 U.S.C. 300x-26 of the Public Health Service Act and 45 C.F.R. 96.130 (e) (4, 5) require that the states provide information on future plans to ensure compliance with the Synar requirements to reduce youth tobacco access.

**1. In the upcoming year, does the state anticipate any changes in:**

Synar sampling methodology ☐ Yes ☒ No

Synar inspection protocol ☐ Yes ☒ No

*If changes are made in either the Synar sampling methodology or the Synar inspection protocol, the state is required to obtain approval from CSAP prior to implementation of the change and file an updated Synar Survey Sampling Methodology (Appendix B) or an updated Synar Survey Inspection Protocol (Appendix C), as appropriate.*

**2. Please describe the state's plans to maintain and/or reduce the target rate for Synar inspections to be completed in FFY 2019. Include a brief description of plans for law enforcement efforts to enforce youth tobacco access laws, activities that support law enforcement efforts to enforce youth tobacco access laws, and any anticipated changes in youth tobacco access legislation or regulation in the state.**

TDMHSAS contracts with 41 community prevention coalitions. Each coalition is required to develop a comprehensive community prevention plan related to youth tobacco prevention. Coalitions have developed strategies that best meet the unique needs in their community based on a thorough assessment. Strategies adopted by coalitions involve law enforcement, retail outlets, and parents to reduce both retail and social access to tobacco products. Implementation of rewards and reminder strategies, health fact information dissemination, media campaigns, and "lock/secure your tobacco" products are just a few examples of community based efforts.

The Tennessee Department of Agriculture (TDA), Consumer and Industry Services, Food & Dairy Section, is committed to reducing the accessibility of tobacco products to minors by continuously educating the store managers of the requirements of the tobacco laws, and ensuring they are implemented. Inspectors will inform retailers of any changes in the laws and will advise merchants to implement these changes. We will continue to ensure tobacco products are sold in their original, sealed packages and verify proper tobacco signage. Civil penalties will be enforced for repeat violators.

The TDA, Food & Dairy Section, plans to continue enforcing the Prevention of Youth Access to Tobacco laws by conducting tobacco compliance inspections throughout next year. Establishments that are non-compliant will be inspected more frequently until they are in compliance. Retailers will receive an outcome letter with the inspection results. The outcome letters address the youth access tobacco laws and the civil penalties that may be imposed by the Department of Agriculture for repeat violators. Enforcement strategies that incorporate year round inspections, re-inspections for violators, aggressive assessment of penalties, and merchant education will help deter potential violators. Establishments in violation during the Synar survey are currently being inspected in our tobacco enforcement program. Violators will be held accountable for their actions.

TDA's toll-free telephone number will continue to be available to consumers so they may report establishments sell tobacco to minors and/or selling single cigarettes.

Tennessee does not anticipate any changes in the youth tobacco access legislation or regulations in the state.

**3. Describe any challenges the state faces in complying with the Synar regulation.** *(Check all that apply and describe each challenge in the text box below it.)*

- ☐ Limited resources for law enforcement of youth access laws

- ☐ Limited resources for activities to support enforcement and compliance with youth tobacco access laws

- ☐ Limitations in the state youth tobacco access laws

- ☐ Limited public support for enforcement of youth tobacco access laws

- ☐ Limitations on completeness/accuracy of list of tobacco outlets

- ☐ Limited expertise in survey methodology

- ☐ Laws/regulations limiting the use of minors in tobacco inspections

- ☐ Difficulties recruiting youth inspectors

- ☐ Issues regarding the balance of inspections conducted by youth inspectors age 15 and under

- ☒ Issues regarding the balance of inspections conducted by one gender of youth inspectors

The Department of Agriculture continues to have problems regarding the age and gender balances of the youth inspectors. We continually try to hire the youths

needed. We try to keep a good balance of male/females and 16/17 year olds. We had issues with finding minors to keep the balance again this year. No technical assistance is needed.

- ☐ Geographic, demographic, and logistical considerations in conducting inspections

- ☐ Cultural factors (e.g., language barriers, young people purchasing for their elders)

- ☐ Issues regarding sources of tobacco under tribal jurisdiction

- ☐ Other challenges (*Please list.*) \_\_\_\_\_

## APPENDIX A: FORMS 1–5

### FORM 1 (Required for all states not using the Synar Survey Estimation System (SSES) to analyze the Synar Survey data)

Complete Form 1 to report sampling frame and sample information and to calculate the unweighted retailer violation rate (RVR) using results from the current year’s Synar survey inspections.

**Instructions for Completing Form 1:** In the top right-hand corner of the form, provide the state name and reporting federal fiscal year (FFY 2019). Provide the remaining information by stratum if stratification was used. Make copies of the form if additional rows are needed to list all the strata.

Column 1: *If stratification was used:*

1(a) Sequentially number each row.

1(b) Write in the name of each stratum. All strata in the state must be listed.

*If no stratification was used:*

1(a) Leave blank.

1(b) Write “state” in the first row (indicates that the whole state is a single stratum).

*Note for unstratified samples: For Columns 2–5, wherever the instruction refers to “each stratum,” report the specified information for the state as a whole.*

Column 2: 2(a) Report the number of over-the-counter (OTC) outlets in the sampling frame in each stratum.  
2(b) Report the number of vending machine (VM) outlets in the sampling frame in each stratum.  
2(c) Report the combined total of OTC and VM outlets in the sampling frame in each stratum.

Column 3: 3(a) Report the estimated number of eligible OTC outlets in the OTC outlet population in each stratum.  
3(b) Report the estimated number of eligible VM outlets in the VM outlet population in each stratum.  
3(c) Report the combined total estimated number of eligible OTC and VM outlets in the total outlet population in each stratum.

*The estimates for Column 3 can be obtained from the Synar survey sample as the weighted sum of eligible outlets by outlet type.*

Column 4: 4(a) Report the number of eligible OTC outlets for which an inspection was completed, for each stratum.  
4(b) Report the numbers of eligible VM outlets for which an inspection was completed, for each stratum.  
4(c) Report the combined total of eligible OTC and VM outlets for which an inspection was completed, for each stratum.

Column 5: 5(a) Report the number of OTC outlets found in violation of the law as a result of completed inspections, for each stratum.  
5(b) Report the number of VM outlets found in violation of the law as a result of completed inspections, for each stratum.  
5(c) Report the combined total of OTC and VM outlets found in violation of the law as a result of completed inspections, for each stratum.

Totals: For each subcolumn (a–c) in Columns 2–5, provide totals for the state as a whole in the last row of the table. These numbers will be the sum of the numbers in each row for the respective column.

[illegible]

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## FORM 2 (Optional)

### Appropriate for stratified simple or systematic random sampling designs.

Complete Form 2 to calculate the weighted RVR. This table (in Excel form) is designed to calculate the weighted RVR for stratified simple or systematic random sampling designs, accounting for ineligible outlets and noncomplete inspections encountered during the annual Synar survey.

**Instructions for Completing Form 2:** In the top right-hand corner of the form, provide the state name and reporting federal fiscal year (FFY 2019).

- Column 1: Write in the name of each stratum into which the sample was divided. These should match the strata reported in Column 1(b) of Form 1.
- Column 2: Report the number of outlets in the sampling frame in each stratum. These numbers should match the numbers reported for the respective strata in Column 2(c) of Form 1.
- Column 3: Report the original sample size (the number of outlets originally selected, *including* substitutes or replacements) for each stratum.
- Column 4: Report the number of sample outlets in each stratum that were found to be eligible during the inspections. Note that this number must be less than or equal to the number reported in Column 3 for the respective strata.
- Column 5: Report the number of eligible outlets in each stratum for which an inspection was completed. Note that this number must be less than or equal to the number reported in Column 4. These numbers should match the numbers reported in Column 4(c) of Form 1 for the respective strata.
- Column 6: Report the number of eligible outlets inspected in each stratum that were found in violation. These numbers should match the numbers reported in Column 5(c) of Form 1 for the stratum.
- Column 7: Form 2 (in Excel form) will automatically calculate the stratum RVR for each stratum in this column. This is calculated by dividing the number of inspected eligible outlets found in violation (Column 6) by the number of inspected eligible outlets (Column 5). The state unweighted RVR will be shown in the Total row of Column 7.
- Column 8: Form 2 (in Excel form) will automatically calculate the estimated number of eligible outlets in the population for each stratum. This calculation is made by multiplying the number of outlets in the sampling frame (Column 2) times the number of eligible outlets (Column 4) divided by the original sample size (Column 3). Note that these numbers will be less than or equal to the numbers in Column 2.
- Column 9: Form 2 (in Excel form) will automatically calculate the relative stratum weight by dividing the estimated number of eligible outlets in the population for each stratum in Column 8 by the Total of the values in Column 8.
- Column 10: Form 2 (in Excel form) will automatically calculate each stratum's contribution to the state weighted RVR by multiplying the stratum RVR (Column 7) by the relative stratum weight (Column 9). The weighted RVR for the state will be shown in the Total row of Column 10.
- Column 11: Form 2 (in Excel form) automatically calculates the standard error of each stratum's RVR (Column 7). The standard error for the state weighted RVR will be shown in the Total row of Column 11.
- TOTAL: For Columns 2–6, Form 2 (in Excel form) provides totals for the state as a whole in the last row of the table. For Columns 7–11, it calculates the respective statistic for the state as a whole.

**FORM 2 (Optional) Appropriate for stratified simple or systematic random sampling designs.**

Calculation of Weighted Retailer Violation Rate										
										State: _____
										FFY: 2019
(1) Stratum Name	(2) N Number of Outlets in Sampling Frame	(3) n Original Sample Size	(4) n1 Number of Sample Outlets Found Eligible	(5) n2 Number of Outlets Inspected	(6) x Number of Outlets Found in Violation	(7) p=x/n2 Stratum Retailer Violation Rate	(8) N'=N(n1/n) Estimated Number of Eligible Outlets in Population	(9) w=N'/Total Column 8 Relative Stratum Weight	(10) pw Stratum Contribution to State Weighted RVR	(11) s.e. Standard Error of Stratum RVR
<b>Total</b>										

- N - number of outlets in sampling frame  
 n - original sample size (number of outlets in the original sample)  
 n1 - number of sample outlets that were found to be eligible  
 n2 - number of eligible outlets that were inspected  
 x - number of inspected outlets that were found in violation  
 p - stratum retailer violation rate ( $p=x/n2$ )  
 N' - estimated number of eligible outlets in population ( $N'=N*n1/n$ )  
 w - relative stratum weight ( $w=N'/\text{Total Column 8}$ )  
 pw - stratum contribution to the weighted RVR  
 s.e. - standard error of the stratum RVR

**FORM 3 (Required when a cluster design is used for all states not using the Synar Survey Estimation System [SSES] to analyze the Synar survey data.)**

Complete Form 3 to report information about primary sampling units when a cluster design was used for the Synar survey.

**Instructions for Completing Form 3:** In the top right-hand corner of the form, provide the state name and reporting federal fiscal year (FFY 2019).

Provide information by stratum if stratification was used. Make copies of the form if additional rows are needed to list all the strata.

Column 1: Sequentially number each row.

Column 2: *If stratification was used:* Write in the name of stratum. All strata in the state must be listed.

*If no stratification was used:* Write “state” in the first row to indicate that the whole state constitutes a single stratum.

Column 3: Report the number of primary sampling units (PSUs) (i.e., first-stage clusters) created for each stratum.

Column 4: Report the number of PSUs selected in the original sample for each stratum.

Column 5: Report the number of PSUs in the final sample for each stratum.

TOTALS: For Columns 3–5, provide totals for the state as a whole in the last row of the table.

Summary of Clusters Created and Sampled				
State: _____				
FFY: 2019				
(1) Row #	(2) Stratum Name	(3) Number of PSUs Created	(4) Number of PSUs Selected	(5) Number of PSUs in the Final Sample
<b>Total</b>				



**FORM 4 (Required for all states not using the Synar Survey Estimation System [SSES] to analyze the Synar Survey data)**

Complete Form 4 to provide detailed tallies of ineligible sample outlets by reasons for ineligibility and detailed tallies of eligible sample outlets with noncomplete inspections by reasons for noncompletion.

**Instructions for Completing Form 4:** In the top right-hand corner of the form, provide the state name and reporting federal fiscal year (FFY 2019).

Column 1(a): Enter the number of sample outlets found ineligible for inspection by reason for ineligibility. Provide the total number of ineligible outlets in the row marked "Total."

Column 2(a): Enter the number of eligible sample outlets with noncomplete inspections by reason for noncompletion. Provide the total number of eligible outlets with noncomplete inspections in the row marked "Total."

<b>Inspection Tallies by Reason of Ineligibility or Noncompletion</b> <b>State:</b> TN <b>FFY:</b> 2019			
<b>(1) INELIGIBLE</b>		<b>(2) ELIGIBLE</b>	
<b>Reason for Ineligibility</b>	<b>(a) Counts</b>	<b>Reason for Noncompletion</b>	<b>(a) Counts</b>
Out of business		In operation but closed at time of visit	
Does not sell tobacco products		Unsafe to access	
Inaccessible by youth		Presence of police	
Private club or private residence		Youth inspector knows salesperson	
Temporary closure		Moved to new location	
Unlocatable		Drive-thru only/youth inspector has no driver's license	
Wholesale only/Carton sale only		Tobacco out of stock	
Vending machine broken		Ran out of time	
Duplicate		Other noncompletion reason(s) ( <i>Describe.</i> )	
Other ineligibility reason(s) ( <i>Describe.</i> )			
<b>Total</b>		<b>Total</b>	

**FORM 5 (Required for all states not using the Synar Survey Estimation System [SSES] to analyze the Synar survey data)**

Complete Form 5 to show the distribution of outlet inspection results by age and gender of the youth inspectors.

**Instructions for Completing Form 5:** In the top right-hand corner of the form, provide the state name and reporting federal fiscal year (FFY 2019).

Column 1: Enter the number of attempted buys by youth inspector age and gender.

Column 2: Enter the number of successful buys by youth inspector age and gender.

If the inspectors are age eligible but the gender of the inspector is unknown, include those inspections in the “Other” row. Calculate subtotals for males and females in rows marked “Male Subtotal” and “Female Subtotal.” Sum subtotals for Male, Female, and Other and record in the bottom row marked “Total.” Verify that the total of attempted buys and successful buys equals the total for Column 4(c) and Column 5(c), respectively, on Form 1. If the totals do not match, please explain any discrepancies.

Synar Survey Inspector Characteristics		
		State: TN
		FFY: 2019
	(1) Attempted Buys	(2) Successful Buys
<b>Male</b>		
15 years		
16 years		
17 years		
18 years		
19 years		
20 years		
<b>Male Subtotal</b>		
<b>Female</b>		
15 years		
16 years		
17 years		
18 years		
19 years		
20 years		
<b>Female Subtotal</b>		
<b>Other</b>		
<b>Total</b>		

## **APPENDIXES B & C: FORMS**

### Instructions

Appendix B (Sampling Design) and Appendix C (Inspection Protocol) are to reflect the state's CSAP-approved sampling design and inspection protocol. These appendixes, therefore, should generally describe the design and protocol and, with the exception of Question #10 of Appendix B, are not to be modified with year-specific information. Please note that any changes to either appendix must receive CSAP's advance, written approval. To facilitate the state's completion of this section, simply cut and paste the previously approved sampling design (Appendix B) and inspection protocol (Appendix C) and respond to Question #10 of Appendix B to provide the requested information about sample size calculations for the Synar survey conducted in FFY 2018.

## APPENDIX B: SYNAR SURVEY SAMPLING METHODOLOGY

State: TN

FFY: 2019

### 1. What type of sampling frame is used?

- ☒ List frame (*Go to Question 2.*)  
☐ Area frame (*Go to Question 3.*)  
☐ List-assisted area frame (*Go to Question 2.*)

### 2. List all sources of the list frame. Indicate the type of source from the list below. Provide a brief description of the frame source. Explain how the lists are updated (method), including how new outlets are identified and added to the frame. In addition, explain how often the lists are updated (cycle). (*After completing this question, go to Question 4.*)

*Use the corresponding number to indicate Type of Source in the table below.*

- |   |  |
|---|--|
| 1 – Statewide commercial business list    | 4 – Statewide retail license/permit list |
| 2 – Local commercial business list        | 5 – Statewide liquor license/permit list |
| 3 – Statewide tobacco license/permit list | 6 – Other                                |

Name of Frame Source	Type of Source	Description	Updating Method and Cycle
HealthSpace USA Inc.	4	<p>The TN Department of Agriculture (TDA) utilizes the AGILE application in HealthSpace USA Inc. The Retail Food Store Inspectors and Tobacco Compliance Inspectors capture information during inspections of establishments that sell tobacco products and are accessible to minors. This includes nationally owned convenience stores, grocery chains, locally owned stores and tobacco shops.</p> <p>The TN Department of Health (TDH) environmentalists inspect restaurants, hotels, motels, bowling alleys and game rooms. TDA requests a list from TDH of establishments that sell tobacco products and are accessible to minors. This information is added to HealthSpace.</p>	<p>TDA inspectors routinely inspect establishments once or twice yearly and the system is updated. New businesses are added at the time an owner notifies our department to apply for a Retail Food Store permit.</p> <p>TDH environmentalists provide a yearly list of establishments that sell tobacco and are accessible to minors. The information is entered into HealthSpace. Our Tobacco Compliance Inspectors conduct state tobacco inspections yearly by county using a county list. Most TDH and TDA establishments missing from the list are inspected and added to HealthSpace as needed.</p>

### 3. If an area frame is used, describe how area sampling units are defined and formed.

**a. Is any area left out in the formation of the area frame?**

☐ Yes ☐ No

*If Yes, what percentage of the state's population is not covered by the area frame?*  
\_\_\_\_\_ %

**4. Federal regulation requires that vending machines be inspected as part of the Synar survey. Are vending machines included in the Synar survey?**

☒ Yes ☐ No

*If No, please indicate the reason(s) they are not included in the Synar survey. Please check all that apply.*

- ☐ State law bans vending machines.
- ☐ State law bans vending machines from locations accessible to youth.
- ☐ State has a contract with the FDA and is actively enforcing the vending machine requirements of the Family Smoking Prevention and Tobacco Control Act.
- ☐ Other (Please describe.) \_\_\_\_\_

*If Yes, please indicate how likely it is that vending machines will be sampled.*

- ☐ Vending machines are sampled separately to ensure vending machines are included in the sample
- ☒ Vending machines are sampled together with over the counter outlets, so it is possible that no vending machines were sampled, however they are included in the sampling frame and have a non-zero probability of selection
- ☐ Other reasons (Please describe.) \_\_\_\_\_

**5. Which category below best describes the sample design? (Check only one.)**

☐ **Census** (STOP HERE: Appendix B is complete.)

**Unstratified statewide sample:**

- ☐ Simple random sample (Go to Question 9.)
- ☐ Systematic random sample (Go to Question 6.)
- ☐ Single-stage cluster sample (Go to Question 8.)
- ☐ Multistage cluster sample (Go to Question 8.)

**Stratified sample:**

- ☒ Simple random sample (Go to Question 7.)
- ☐ Systematic random sample (Go to Question 6.)
- ☐ Single-stage cluster sample (Go to Question 7.)
- ☐ Multistage cluster sample (Go to Question 7.)
- ☐ **Other** (Please describe and go to Question 9.) \_\_\_\_\_

**6. Describe the systematic sampling methods. (After completing Question 6, go to Question 7 if stratification is used. Otherwise go to Question 9.)**

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**7. Provide the following information about stratification.**

**a. Provide a full description of the strata that are created.**

Simple random sampling for over-the-counter establishments is used to draw Tennessee's Synar sample. Sampling is done within stratum, which ensures adequate geographic representation of the State's tobacco outlets. Establishments within stratum are put in order by establishment, and then by zip code.

Excel's random number generator is used to assign a random number to each establishment. The list is then sorted by random number. Based on these random numbers, samples are drawn for each stratum until the number to be sampled is reached.

Sample sizes are also adjusted for over-the-counter establishments, by stratum, based on the previous year's response rate. Heavier sampling takes place in stratum where response rates were poor in an attempt to provide adequate coverage.

Six (6) over-the-counter strata are created representing West, Middle, and East Tennessee. Davidson, Knox and Shelby Counties contain the major metropolitan cities of Nashville, Knoxville and Memphis, respectively. There are a total of six (6) strata from which to collect data.

**b. Is clustering used within the stratified sample?**

☐ **Yes** (Go to Question 8.)

☒ **No** (Go to Question 9.)

**8. Provide the following information about clustering.**

**a. Provide a full description of how clusters are formed. (If multistage clusters are used, give definitions of clusters at each stage.)**

**b. Specify the sampling method (simple random, systematic, or probability proportional to size sampling) for each stage of sampling and describe how the method(s) is (are) implemented.**

**9. Provide the following information about determining the Synar Sample.**

**a. Was the Synar Survey Estimation System (SSES) used to calculate the sample size?**

☒ **Yes** (Respond to part b.)

☐ **No** (Respond to part c and Question 10c.)

**b. SSES Sample Size Calculator used?**

☐ **State Level** (Respond to Question 10a.)

☒ **Stratum Level**      (Respond to Question 10a and 10b.)

**c. Provide the formulas for determining the effective, target, and original outlet sample sizes.**

The Synar sample size is calculated assuming a 50 percent noncompliance rate in an effort to provide a safety margin in the sample size.

The formula follows:

$$n_e = \frac{1}{\left( \frac{(0.0182)^2}{P(1-P)} + \frac{1}{N} \right)}$$

Where P is an assumed RVR of 50% and N is the total number of outlets in the sampling frame.

The target sample size is determined by multiplying the effective sample size by the design effect from the previous year's survey ( $n_t = dn_e$ ).

The original sample size is determined by inflating the target sample size by the expected eligibility rate ( $r_l$ ) and the expected completion rate ( $r_c$ ), where the  $r_l$  is the eligibility (also known as accuracy) rate from the previous year's survey and  $r_c$  is the completion rate from the previous year's survey. The original sample size can be written as:

$$n_o = \frac{n_t}{r_l r_c}$$

These calculations are used to determine the State's (Tennessee's) six (6) over-the-counter strata sample sizes.

**10. Provide the following information about sample size calculations for the Synar survey conducted in FFY 2018.**

**a. If the state uses the sample size formulas embedded in the SSES Sample Size Calculator to calculate the state level sample size, please provide the following information:**

**Inputs for Effective Sample Size:**

RVR: 50%

Frame Size: 6,834

**Input for Target Sample Size:**

Design Effect: 1

**Inputs for Original Sample Size:**

Safety Margin: 50  
Accuracy (Eligibility) Rate: 96.3%  
Completion Rate: 98.2%

- b. If the state uses the sample size formulas embedded in the SSES Sample Size Calculator to calculate the stratum level sample sizes, please provide the stratum level information:**

Stratum 301- 799 (West TN)  
Stratum 302 – 2,061 (Middle TN)  
Stratum 305 – 2,105 (East TN)  
Stratum 309 – 923 (Shelby County – Contains Memphis)  
Stratum 310 – 579 (Davidson County – Contains Nashville)  
Stratum 311 – 367 (Knox County – Contains Knoxville)

- c. If the state does not use the sample size formulas embedded in the SSES Sample Size Calculator, please provide all inputs required to calculate the effective, target, and original sample sizes as indicated in Question 9.**

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## APPENDIX C: SYNAR SURVEY INSPECTION PROTOCOL SUMMARY

State: TN

FFY: 2019

*Note: Upload to WebBGAS a copy of the Synar inspection form under the heading “Synar Inspection Form” and a copy of the protocol used to train inspection teams on conducting and reporting the results of the Synar inspections under the heading “Synar Inspection Protocol.”*

### 1. How does the state Synar survey protocol address the following?

#### a. Consummated buy attempts?

- ☐ Required  
☐ Permitted under specified circumstances (Describe: \_\_\_\_\_ )  
☒ Not permitted

#### b. Youth inspectors to carry ID?

- ☐ Required  
☐ Permitted under specified circumstances (Describe: \_\_\_\_\_ )  
☒ Not permitted

#### c. Adult inspectors to enter the outlet?

- ☒ Required  
☐ Permitted under specified circumstances (Describe: \_\_\_\_\_ )  
☐ Not permitted

#### d. Youth inspectors to be compensated?

- ☒ Required  
☐ Permitted under specified circumstances (Describe: \_\_\_\_\_ )  
☐ Not permitted

### 2. Identify the agency(ies) or entity(ies) that actually conduct the random, unannounced Synar inspections of tobacco outlets. (Check all that apply.)

- ☐ Law enforcement agency(ies)  
☒ State or local government agency(ies) other than law enforcement  
☐ Private contractor(s)  
☐ Other

List the agency name(s): Tennessee Department of Agriculture

3. Are Synar inspections combined with law enforcement efforts (i.e., do law enforcement representatives issue warnings or citations to retailers found in violation of the law at the time of the inspection?)?

☐ Always   ☐ Usually   ☐ Sometimes   ☐ Rarely   ☒ Never

4. Describe the type of tobacco products that are requested during Synar inspections.

- a. What type of tobacco products are requested during the inspection?

- ☒ Cigarettes  
☐ Small Cigars  
☐ Cigarillos  
☒ Smokeless Tobacco  
☐ Electronic Cigarettes/Electronic Nicotine Delivery Systems (ENDS)  
☐ Other

- b. Describe the protocol for identifying what types of products and what brands of products are requested during an inspection.

During the annual Synar training, the inspectors are asked to discuss with their youth the type of tobacco product and the brand name of the product. During the youth training, the inspector and the minor will agree on the most popular type of tobacco product and brand name in their area. They request the same type of product and brand name, and also have a back-up plan in case the establishment does not have the specific product.

- 5a. Describe the methods used to recruit, select, and train adult supervisors.

All of our Synar inspectors currently conduct tobacco enforcement inspections year round. They have been responsible for implementing the Synar program for the last five years. An annual inspector's state-wide Synar training is held each spring presented by the Synar coordinator. Inspectors are given materials including a Synar Protocol, the random county list to be surveyed, an instructional guide and youth inspector's packets.

- 5b. Describe the methods used to recruit, select, and train youth inspectors.

After the adult inspectors are trained, they may recruit youths in their communities to work with them or work with youth who are already assisting in the tobacco enforcement program. If necessary, the Synar coordinator has a list of contacts and will recruit the youth inspectors. During the youth training, the adult inspector explains the program to the youth and his parent and written parental consent is mandatory. A variety of scenarios are discussed to better prepare the youths for any questions they may be asked during the survey. Youth must answer truthfully and do not carry an ID with them. They are encouraged to keep the survey confidential. To ensure confidentiality of the minors, they are assigned a minor ID number for identification.

6. Are there specific legal or procedural requirements instituted by the state to address the issue of youth inspectors' immunity when conducting inspections?

**a. Legal**

☐ Yes ☒ No

*(If Yes, please describe.)*

**b. Procedural**

☐ Yes ☒ No

*(If Yes, please describe.)*

**7. Are there specific legal or procedural requirements instituted by the state to address the issue of the safety of youth inspectors during all aspects of the Synar inspection process?**

**a. Legal**

☐ Yes ☒ No

*(If Yes, please describe.)*

**b. Procedural**

☒ Yes ☐ No

*(If Yes, please describe.)*

Inspectors are not required to conduct Synar or enforcement inspections in establishments that appear to be unsafe. During all inspections, adults are asked to enter the establishment a few seconds before the minor so they may view the surroundings. The inspector should terminate the inspection immediately if he believes the establishment poses a threat to himself or the minor.

**8. Are there any other legal or procedural requirements the state has regarding how inspections are to be conducted (e.g., age of youth inspector, time of inspections, training that must occur)?**

**a. Legal**

☒ Yes ☐ No

*(If Yes, please describe.)*

TCA Chapter 5, Section 50-5-109 states a birth certificate or other proof of age is required before any minor may be employed or continue to be employed. Chapter 5 Section 50-5-115 states a “minor must have a thirty (30) minute unpaid break or meal period if scheduled to work six hours consecutively”.

TCA Chapter 5, Section 50-5-105 states a minor, “16 or 17 years of age enrolled in school, may not be employed during those hours when the minor is required to attend classes and between the hours of ten p.m. and six a.m. Sunday through Thursday evenings preceding a school day”.

**b. Procedural**

☒ **Yes**   ☐ **No**

*(If Yes, please describe.)*

Minors must be between the ages of sixteen (16) and seventeen (17) years old to participate in the Synar Program. Inspectors are required to meet with the parent and child to discuss the Synar protocol and answer any questions. The parent is provided with a packet explaining the program. Copies of the minor’s social security card, birth certificate, and school record or drivers’ license are required, along with other documents including the written parental consent form.

## APPENDIX D: LIST SAMPLING FRAME COVERAGE STUDY

(LIST FRAME ONLY)

State: TN  
FFY: 2019

1. Calendar year of the coverage study: \_\_\_\_\_

2.   a. Unweighted percent coverage found: \_\_\_\_\_ %  
      b. Weighted percent coverage found: \_\_\_\_\_ %  
      c. Number of outlets found through canvassing: \_\_\_\_\_  
      d. Number of outlets matched on the list frame: \_\_\_\_\_

3.   a. Describe how areas were defined. (*e.g., census tracts, counties, etc.*)

b. Were any areas of the state excluded from sampling?

☐ Yes   ☐ No

*If Yes, please explain.*

4. Please answer the following questions about the selection of canvassing areas.

a. Which category below best describes the sample design? (*Check only one.*)

☐ Census (*Go to Question 6.*)

**Unstratified statewide sample:**

☐ Simple random sample (*Respond to Part b.*)

☐ Systematic random sample (*Respond to Part b.*)

☐ Single-stage cluster sample (*Respond to Parts b and d.*)

☐ Multistage cluster sample (*Respond to Parts b and d.*)

**Stratified sample:**

☐ Simple random sample (*Respond to Parts b and c.*)

☐ Systematic random sample (*Respond to Parts b and c.*)

☐ Single-stage cluster sample (*Respond to Parts b, c, and d.*)

☐ Multistage cluster sample (*Respond to Parts b, c, and d.*)

☐ **Other** (*Please describe and respond to Part b.*) \_\_\_\_\_

b. Describe the sampling methods.

- c. Provide a full description of the strata that were created.

- d. Provide a full description of how clusters were formed.

5. Were borders of the selected areas clearly identified at the time of canvassing?

☐ Yes ☐ No

6. Were all sampled areas visited by canvassing teams?

☐ Yes (*Go to Question 7.*) ☐ No (*Respond to Parts a and b.*)

- a. Was the subset of areas randomly chosen?

☐ Yes ☐ No

- b. Describe how the subsample of visited areas was drawn. Include the number of areas sampled and the number of areas canvassed.

7. Were field observers provided with a detailed map of the canvassing areas?

☐ Yes ☐ No

*If No, describe the canvassing instructions given to the field observers.*

8. Were field observers instructed to find all outlets in the assigned area?

☐ Yes ☐ No

*If No, respond to Question 9.*

*If Yes, describe any instructions given to the field observers to ensure the entire area was canvassed, then go to Question 10.*

9. If a full canvassing was not conducted:

- a. How many predetermined outlets were to be observed in each area? \_\_\_\_\_

- b. What were the starting points for each area? \_\_\_\_\_

- c. Were these starting points randomly chosen?

☐ Yes ☐ No

- d. Describe the selection of the starting points.

- e. Please describe the canvassing instructions given to the field observers, including predetermined routes.

10. Describe the process field observers used to determine if an outlet sold tobacco.

11. Please provide the state's definition of "matches" or "mismatches" to the Synar sampling frame? (i.e., address, business name, business license number, etc.)

12. Provide the calculation of the weighted percent coverage (if applicable).